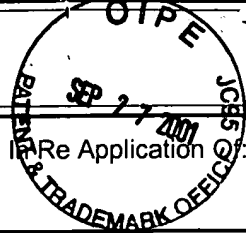




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2-5-04 0300

		TRANSMITTAL LETTER (General - Patent Pending)		Docket No. 01-023	
Re Application: ALDERUCCI et al.					
Serial No. 09933588 Not Yet Assigned		Filing Date August 21, 2001		Examiner Not Yet Assigned	
				Group Art Unit Not Yet Assigned	
Title: METHOD AND APPARATUS FOR PROVIDING A SUPPLEMENTARY PRODUCT SALE AT A POINT-OF-SALE TERMINAL					
<p style="text-align: center;"><u>TO THE ASSISTANT COMMISSIONER FOR PATENTS:</u></p> <p>Transmitted herewith is:</p> <p>Supplemental Information Disclosure Statement (5 pp.); PTO Form-1449 (3 pp.), and references cited therein (31); and Return Receipt Postcard.</p> <p style="text-align: right;">RECEIVED APR 12 2002 Technology Center 2100</p> <p>in the above identified application.</p> <p><input checked="" type="checkbox"/> No additional fee is required. <input type="checkbox"/> A check in the amount of _____ is attached. <input checked="" type="checkbox"/> The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0271 as described below. A duplicate copy of this sheet is enclosed.</p> <p><input type="checkbox"/> Charge the amount of _____ <input checked="" type="checkbox"/> Credit any overpayment. <input checked="" type="checkbox"/> Charge any additional fee required.</p> <p style="text-align: center;"> _____ Signature</p> <p>Dated: September 25, 2001</p> <p>Dean P. Alderucci Attorney for Applicants PTO Registration No. 40,484 (203) 461-7337/phone (203) 461-7300/fax</p> <p>Customer No. 22927</p> <p>Alderucci@walkerdigital.com</p> <p>CC:</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"><p>I certify that this document and fee is being deposited September 25, 2001 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.</p><p style="text-align: center;"> Signature of Person Mailing Correspondence</p><p style="text-align: center;">Michael D. Brinton Typed or Printed Name of Person Mailing Correspondence</p></div>					



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ALDERUCCI et al.

Serial No.: Not Yet Assigned

Filing Date: August 21, 2001

For: METHOD AND APPARATUS FOR
PROVIDING A SUPPLEMENTARY
PRODUCT SALE AT A POINT-OF-
SALE TERMINAL

) Examiner: Not Yet Assigned
)
) Group Art Unit: Not Yet Assigned
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) Attorney Docket No: 01-023
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) Customer No.: 22927
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Assistant Commissioner for Patents
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

1. ☐ Applicants respectfully direct the Examiner's attention to the pending U.S. patent applications listed on the enclosed Form PTO-1449. The Examiner is respectfully requested to fully consider and independently ascertain the teachings and relevance of those applications with respect to the instant application. Applicants would be pleased to provide the Examiner with a copy of these applications upon request.
2. ☐ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a European Search Report from a counterpart European application is enclosed. Such items are marked as reference letter(s): _____.
3. ☐ For each of the items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application. Such items are marked as reference letter(s): _____.
4. ☒ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

☒ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application.

☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491.

☐ 37 C.F.R. §1.97(b)(3), before the mailing date of a first Office Action on the merits.
5. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of

Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c) after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action). The fee due under 37 C.F.R. §1.17(p) is to be paid as set forth in paragraph 10 below.
7. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in accordance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a Notice of Allowance, but before the payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
 - b. this document is to be considered as a petition requesting consideration of the information disclosure statement.
 - c. the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.
8. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:
- ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition to Withdraw Application from Issue;

☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition to Withdraw Application from Issue.

☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 10 below.

9. ☐ I hereby certify:

☐ that each item of information contained in the items listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. A copy of such communication is enclosed.

☐ that no item of information contained or listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

10. ☐ Please accept payment of the fees due as indicated below:

☐ A check in the amount of \$240.00 is enclosed in payment of the fee due under 37 C.F.R. 1.17(p).

☐ The Commissioner is hereby authorized to charge \$240.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(p). A duplicate copy of this sheet is attached for such purpose

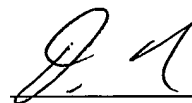
☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).

☐ The Commissioner is authorized to charge \$130.00 to Deposit Account No. 50-0271 in payment of the fee due under 37 C.F.R. §1.17(i)(1). A duplicate copy of this sheet is attached.

11. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 50-0271. A copy of this authorization is attached.

12. ☐ No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed concurrently with a Request for Continued Examination.

Respectfully submitted,

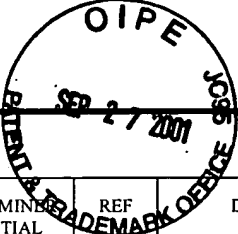


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September 25, 2001

Date

INFORMATION DISCLOSURE CITATION				Docket Number		Serial Number	
				01-023		Not Yet Assigned	
				Applicants			
				ALDERUCCI et al.			
				Filing Date		Group Art Unit	
				August 21, 2001		Not Yet Assigned	



U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A	4,876,592	10/24/89	Von Kohorn	358	84	
	B	4,902,880	02/20/90	Garczynski et al.	235	375	
	C	4,922,522	05/1/90	Scanlon	379	95	
	D	5,025,372	06/18/91	Burton et al.	364	406	
	E	5,297,026	03/22/94	Hoffman	364	408	
	F	5,305,195	04/19/94	Murphy	364	401	
	G	5,371,796	12/6/94	Avarne	380	23	
	H	5,539,189	07/23/96	Wilson	235	379	
	I	5,638,457	06/10/97	Deaton et al.	382	100	
	J	5,642,484	06/24/97	Harrison, III et al.	395	214	

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FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							Yes	No

OTHER DOCUMENTS <i>(Including author, Title, Date, Pertinent Pages, Etc.)</i>		
	K	Brochure, "Reaching Out In New Directions", First Data Corporation.

EXAMINER	DATE CONSIDERED:
----------	------------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION				Docket Number 01-023		Serial Number Not Yet Assigned	
				Applicants ALDERUCCI et al.			
				Filing Date August 21, 2001		Group Art Unit Not Yet Assigned	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	L	5,642,485	06/24/97	Deaton et al.	395	214	
	M	5,644,723	07/1/97	Deaton et al.	395	214	
	N	5,649,114	07/15/97	Deaton et al.	395	214	
	O	5,652,421	07/29/97	Veeneman et al.	235	381	
	P	5,655,007	08/5/97	McAllister	379	91.01	
	Q	5,832,457	11/3/98	O'Brien et al.	705	14	
	R	5,845,259	12/1/98	West et al.	705	14	
	S	5,946,665	08/31/99	Suzuki et al.	705	26	
	T	6,014,634	01/11/00	Scroggie et al.	705	14	
	U	6,267,670 B1	07/31/01	Walker et al.	463	17	

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	Translation	
							Yes	No

OTHER DOCUMENTS (Including author, Title, Date, Pertinent Pages, Etc.)		
	V	Mckinney, Jeff, "Merchant program could pay off for Provident", The Cincinnati Enquirer, March 24, 1996, Section: Financial at Pg. E02.

EXAMINER	DATE CONSIDERED:
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION		Docket Number 01-023	Serial Number Not Yet Assigned
		Applicants ALDERUCCI et al.	
		Filing Date August 21, 2001	Group Art Unit Not Yet Assigned
	W	Fickenscher, Lisa, "Amex to Start Free Rewards Program with Discounts on Merchandise", The American Banker, October 18, 1996, Section: Credit/Debit/ATMs at pg. 10.	
	X	Fitzgerald, Kate, "Amex Program Moves Loyalty To Next Level: Custom Extras Finds A Medium Customers Can't Ignore: Billing Statements", Advertising Age, November 4, 1996, Section: News at pg. 2.	
	Y	Fickenscher, Lisa, "Merchant: American Express Seeks to Mine Its Data on Cardholder Spending Patterns", The American Banker, March 24, 1997, Section: Credit/Debit/ATMs at pg. 20.	
	Z	"Dispensing the future", Electronic Payments International, May 1997, Section: Feature at pg. 12.	
	AA	"Industry Briefs", Card News, June 9, 1997, Vol. 12, No. 11.	
	BB	Hoeschen, Brad, "Brookfield Square hopes mall card strikes a chord", Business Journal-Milwaukee, September 12, 1997, Vol. 14, No. 50 at pg. 19.	
	CC	"NCR 7452 Workstation -- Beyond Traditional POS", (http://www.ncr.com/product/retail/products/catalog/7452.shtm), download date: September 23, 1997.	
	DD	PCT International Search Report for Application No. PCT/US98/05787, dated April 27, 1999.	
	EE	PCT Written Opinion for Application No. PCT/US98/05787, mailing date July 29, 1999.	
EXAMINER		DATE CONSIDERED:	
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

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